2773

Employee: _E. Ford_

Team: _4_   _#6_

Date: _12/28/99_

RECEIVED
JAN - 4 2000
TC 2700 MAIL ROOM

To: Technology Center _2700_

From: Dora Stroud, Supervisor
         OIPE Customer Service
         Charge Location 0350

Subject: Customer Requests

Serial Number: _09/289550_

File Location: _2701 T.C._

The attached request for a corrected file receipt has been completed. Please forward the case to OIPE, Customer Service, CP2-6th Floor.

If you decide to keep the case, assign the request a paper number, endorse contents, punch holes in the documents, and replace the old Bib Data sheet with the updated version in the center of the file.

Your cooperation is greatly appreciated.

PTO/SB/21 (modified)
Approved for use through xx/xx/xx, OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

00**/**PTO Re**/** 10/95	U.S. Department of Commerce Patent and Trademark Office	Application Number	09/289,550
		Filing Date	April 9, 1999
TRANSMITTAL FORM		First Named Inventor	Richard W. Friesen
(to be used for all correspondence during pendency of filed application)		Group Art Unit Number	2773
		Examiner Name	Not Yet Known
Total Number of Pages in This Submission	11	Attorney Docket Number	3854

ENCLOSURES   *(check all that apply)*

☑ Fee Transmittal Form (in duplicate)

    ☐ Check Enclosed

☑ Return Receipt Postcard

☐ Response to Notice to File Missing Parts

☐ Assignment & Recordation Cover Sheet

☐ Declaration

☐ Small Entity Statement

☐ Information Disclosure Statement & PTO-1449

    ☐ Copies of IDS Cited References

☑ Request for Corrected Filing Receipt

☐ Request for Correction of Recorded Assignment

☐ Amendment/Response: [ ] Page(s)

    ☐ After Final

☐ Status Request

☐ Revocation and Power of Attorney

☐ Issue Fee Transmittal

☐ Letter to Chief Draftsperson

☐ Formal Drawing(s):
    [ ] Sheet(s) of Figure(s)

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief)

☐ Certified Copy of Priority Document(s)
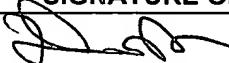
☐ After Allowance Communication to Group

☐ _____

☐ _____

☐ _____

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☐ _____

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☐

FILE COPY

TC 2700 MAIL ROOM

RECEIVED JAN - 4 2000
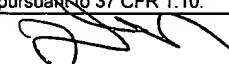
REMARKS:

SIGNATURE OF ATTORNEY OR AGENT

Signature:			
Attorney/Reg. No.:	Dana S. Rao/Reg. No. 43,875	Dated:	6/23/99

CERTIFICATE OF MAILING

I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.

Signature:			
Typed or Printed Name:	Dana S. Rao	Dated:	6/23/99
Express Mail Mailing Number *(optional)*:			

Rev. 06/22/99

/PTO(modified)
Rev. 10/95

U.S. Department of Commerce
Patent and Trademark Office

FEE TRANSMITTAL

TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) = ($).00

Complete if Known	
Application Number	09/289,550
Filing Date	April 9, 1999
First Named Inventor	Richard W. Friesen
Group Art Unit	2773
Examiner Name	Not Yet Known
Attorney Docket Number	3854

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to:

[ ] Charge the indicated fees to the below mentioned deposit account.

[X] Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. †

[ ] Charge the Issue Fee set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b) to the below mentioned deposit account.

Deposit Account Number: 19-2555
Deposit Account Name: FENWICK & WEST LLP

A Duplicate Copy of this authorization is attached

2. [ ] Payment Enclosed:
[ ] Check   [ ] Other

FEE CALCULATION (fees effective 11/12/98)

1. FILING FEE

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
101/$760	201/$380	Utility Filing	
106/$310	206/$155	Design Filing	
108/$760	208/$380	Reissue Filing	
114/$150	214/$75	Provisional Filing	

SUBTOTAL (1) ($).00

2. CLAIMS

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description
103/$18	203/$9	Claims in excess of 20
102/$78	202/$39	Independent claims in excess of 3
104/$260	204/$130	Multiple dependent claim
109/$78	209/$39	Reissue independent claims over original patent
110/$18	210/$9	Reissue claims in excess of 20 and over original patent

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
105/$130	205/$65	Surcharge - late filing fee or oath	
127/$50	227/$25	Surcharge-late provisional filing fee or cover sheet	
147/$2,520	147/$2,520	For filing a request for reexamination	
115/$110	215/$55	Extension for response within first month†	
116/$380	216/$190	Extension for response within second month†	
117/$870	217/$435	Extension for response within third month†	
118/$1,360	218/$680	Extension for response within fourth month†	
128/$1,850	228/$925	Extension for response within fifth month†	
119/$300	219/$150	Notice of Appeal	
141/$1,210	241/$605	Petition to revive unintentionally abandoned application	
142/$1,210	242/$605	Utility Issue Fee (Or Reissue)	
143/$430	243/$215	Design Issue Fee	
122/$130	122/$130	Petitions to the Commissioner	
123/$50	123/$50	Petitions related to provisional applications	
126/$240	126/$240	Submission of Information Disclosure Statement	
581/$40	581/$40	Recording each patent assignment per property (times number of properties)	
146/$760	246/$380	Filing a submission after final rejection (37 CFR 1.129(a))	
149/$760	249/$380	For each additional invention to be examined (37 CFR 1.129(b))	

Other fee (specify):

Other fee (specify):

SUBTOTAL (3) ($).00

For	(Col. 1) No. of Existing Claims		(Col. 2) Highest No. Previously Paid For		(Col. 3) Extra**	Fee		Fee Due
TOTAL		minus*	20	or	=	x	=	
INDEP		minus*	3	or	=	x	=	
[ ] First presentation of multiple dependent claim							=	

* Subtract the greater number of Col. 2

** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

SUBTOTAL (2) ($).00

SUBMITTED BY		Complete (if applicable)	
Typed or Printed Name	Dana S. Rao	Reg. Number	43,875
Signature		Date	6/23/99

† Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby

Rev. 06/22/99

IN THE UNITED STATES

PATENT AND TRADEMARK OFFICE

APPLICANT(S):   Richard W. Friesen and Peter C. Hart

SERIAL NO.:   09/289,550

FILING DATE: April 9, 1999

TITLE: User Interface for an Electronic Trading System

EXAMINER: Not Yet Known

GROUP ART UNIT: 2773

ATTY. DKT. NO.:   3854

ASSISTANT COMMISSIONER FOR PATENTS
APPLICATION PROCESSING DIVISION
CUSTOMER CORRECTION BRANCH
WASHINGTON, DC. 20231

REQUEST FOR CORRECTED FILING RECEIPT

SIR:

         Enclosed is a copy of the Official Filing Receipt. It contains the following errors:

         1.   The total number of drawings is erroneously stated as 13. The correct total number of drawings is 14, as evidenced by our postcard, a copy of which is enclosed.

         2.   The number of total claims is erroneously stated as 38. The correct number of total claims is 58, as evidenced by the fee transmittal, a copy of which is enclosed.

         3.   The Applicant's name is erroneously stated as "Richard Friesen". The correct Applicant's name is "Richard W. Friesen" as evidenced by the executed Declaration, a copy of which is enclosed.

4.   The city of residence for Applicant Peter C. Hart is erroneously stated as "San Rafacl". The correct Applicant's city of residence is "San Rafael" as evidenced by the executed Declaration, a copy of which is enclosed.

Please issue a corrected Filing Receipt rectifying these errors.

☑   The corrections are not due to any error by the Applicant and therefore no fee is due.

☐   Since at least one of the corrections is due to Applicant's error, payment in the amount of $25, pursuant to 37 CFR § 1.19(h), is enclosed.

Respectfully submitted,
RICHARD W. FRIESEN and
PETER C. HART

Dated: ___6/23/99___   By: _____
Dana S. Rao, Reg. No.: 43,875
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306
Tel.: (650) 858-7816
Fax.: (650) 494-1417

COPY

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/289,550	04/09/99	2773	$1,138.00	3854	13	38	12

DANA S RAO
FENWICK & WEST
TWO PALO ALTO SQUARE
PALO ALTO CA 94306

OIPE JC65
JUN 2 8 1999
PATENT & TRADEMARK OFFICE

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JUN 1 4 1999

FENWICK & WEST LLP.

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

RICHARD FRIESEN, FAIRFAX, CA; PETER C. HART, SAN RAFACL, CA.

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 04/28/99 ** SMALL ENTITY **
TITLE
USER INTERFACE FOR AN ELECTRONIC TRADING SYSTEM

PRELIMINARY CLASS: 345

TC 2700 MAIL ROOM
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DATA ENTRY BY: FORD, EVELYN   TEAM: 04 DATE: 06/10/99

(see reverse)

Date Mailed: 4/8/99	Atty/Sec: DSR'dkc	Filing Date: 4/9/99
Serial No. Not Yet Known		Docket No.: 3854
Applicant(s): Richard W. Friesen and Peter C. Hart		
Title: User Interface for an Electronic Trading System		

Please imprint Patent Office "date stamp" hereon to indicate receipt and then return card to addressee

☑ 46 pages of Specification, Claims, & Abstract

☑ 14 sheets of formal drawings

☐ Provisional Application Cover Sheet

☑ New Utility Application Transmittal

☑ Fee Transmittal (in duplicate)

☑ Declaration

☐ Assignment & Recordation Cover Sheet

☑ Small Entity Statement

☐ New Design Application Transmittal

☐ CPA Request Transmittal

☐ Check in the amount of $ __

☐ Amendment/Response

☐ PTO-1533 & Resp. to Notice Of Missing Parts

☐ Request to Correct Filing Receipt

☐ Request to Correct Assignment

☐ IDS, PTO-1449, and cited references

☐ Issue Fee Transmittal

☐ Letter to Chief Draftsperson

☐ Maintenance Fee Payment

☐ Request for Certificate of Correction

☐ Notice of Appeal

☑ Express Mail No. EL263549029US

JC542 U.S. PTO

09/289550

04/09/99

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TC 2700 MAIL ROOM

PTO/SB/17 (6-95)(modified)
Approved for use through 11/30/96. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0002/FPD(modified)
Rev. 6/95

U.S. Department of Commerce
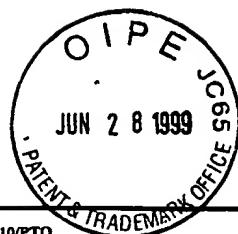Patent and Trademark Office

FEE TRANSMITTAL

TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) = ($)1,073.00

Complete if Known	
Application Number	Not Yet Known
Filing Date	April 9, 1999
First Named Inventor	Richard W. Friesen
Group Art Unit	Not Yet Known
Examiner Name	Not Yet Known
Attorney Docket Number	3854

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to:

[ ] Charge the indicated fees to the below mentioned deposit account.

[ ] Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. [1]

[ ] Charge the Issue Fee set in 37 CFR 1.18 at the Mailing of the Notice of Allowance. 37 CFR 1.311(b) to the below mentioned deposit account.

Deposit Account Number: 19-2555
Deposit Account Name: FENWICK & WEST LLP

A Duplicate Copy of this authorization is attached

2. [ ] **Payment Enclosed:**
[ ] Check   [ ] Other

FEE CALCULATION (fees effective 11/12/98)

1. FILING FEE

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
101/$760	201/$380	Utility Filing	380
106/$310	206/$155	Design Filing	
108/$760	208/$380	Reissue Filing	
114/$150	214/$75	Provisional Filing	

SUBTOTAL (1) ($)380

2. CLAIMS

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description
103/$18	203/$9	Claims in excess of 20
102/$78	202/$39	Independent claims in excess of 3
104/$260	204/$130	Multiple dependent claim
109/$78	209/$39	Reissue independent claims over original patent
110/$18	210/$9	Reissue claims in excess of 20 and over original patent

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
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118/$1,360	218/$680	Extension for response within fourth month[1]	
128/$1,850	228/$925	Extension for response within fifth month[1]	
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126/$240	126/$240	Submission of Information Disclosure Statement	
581/$40	581/$40	Recording each patent assignment per property (times number of properties)	
146/$760	246/$380	Filing a submission after final rejection (37 CFR 1.129(a))	
149/$760	249/$380	For each additional invention to be examined (37 CFR 1.129(b))	

Other fee (specify):

Other fee (specify):

SUBTOTAL (3) ($).00

For	(Col. 1) No. of Existing Claims		(Col. 2) Highest No. Previously Paid For		(Col. 3) Extra**		Fee		Fee Due
TOTAL	58	minus*	20	or	=	38	x 9	=	342
INDEP	12	minus*	3	or	=	9	x 39	=	351
[ ] First presentation of multiple dependent claim								=	

* Subtract the greater number of Col. 2

** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

SUBTOTAL (2) ($)693

SUBMITTED BY		Complete (if applicable)	
Typed or Printed Name	Dana S. Rao	Reg. Number	43,875
Signature		Date	4/9/99

[1] Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby

Rev. 04/09/99

COPY

0010/PTO Rev. 6/95 U.S. Department of Commerce Patent and Trademark Office		
	Attorney Docket Number	3854
DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION	First Named Inventor	**Richard W. Friesen**
		COMPLETE IF KNOWN
	Application Number	09/289,550
	Filing Date	**April 9, 1999**
	Group Art Unit	2773
[ ] Declaration Submitted with Initial Filing OR [X] Declaration Submitted after Initial Filing	Examiner Name	**Not Yet Known**

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

USER INTERFACE FOR AN ELECTRONIC TRADING SYSTEM

the specification of which   *(Title of the Invention)*

[ ] is attached hereto

OR

[X] was filed on (MM/DD/YYYY) April 9, 1999 as United States Application Number or PCT International Application Number 09/289,550 and was amended on (MM/DD/YYYY) [_____] (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37 Code of Federal Regulations. § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code § 119 (a)-(d) or § 385(b) of any foreign application(s) for patent or inventor's certificate, or § 365 (a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached? YES	NO
			[ ]	[ ]	[ ]
			[ ]	[ ]	[ ]
			[ ]	[ ]	[ ]
			[ ]	[ ]	[ ]
			[ ]	[ ]	[ ]

[ ] Additional foreign application numbers are listed on a supplemental priority sheet attached hereto:

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	[ ] Additional provisional application numbers are listed on a supplemental sheet attached hereto.

Rev. 05/19/99

DECLARATION	Page 2

I hereby claim the benefit under Title 35, United States Code § 120 of any United States application(s), or § 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application Number	PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (*if applicable*)

[ ] Additional U.S. or PCT international application numbers are listed on a supplemental priority sheet attached hereto.

As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

Name	Registration Number	Name	Registration Number
Dana Rao	43,875		
Robert R. Sachs	42,120		

[ ] Additional attorney(s) and/or agent(s) named on a supplemental sheet attached hereto.

Please direct all correspondence to:

Dana S. Rao
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306
U.S.A.

Telephone	(650) 858-7816		Fax	(650) 494-1417

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name of Sole or First Inventor:	[ ] A petition has been filed for this unsigned inventor						

Given Name	Richard	Middle Initial	W.	Family Name	Friesen		Suffix e.g. Jr.	

Inventor's Signature					Date	5/20/99
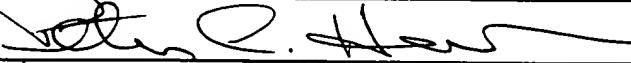
Residence: City	Fairfax	State	CA	Country	U.S.A.	Citizenship	U.S.A.

Mailing Address	

Mailing Address	132 Ridge Road

City	Fairfax	State	CA	Zip	94930	Country	U.S.A.

[X] Additional inventors are being named on supplemental sheet(s) attached hereto

Rev. 05/19/99

DECLARATION	ADDITIONAL INVENTOR(S) Supplemental Sheet

Name of Additional Joint Inventor, if any: [ ] A petition has been filed for this unsigned inventor

Given Name	Peter	Middle Initial	C.	Family Name	Hart			Suffix e.g. Jr.	
Inventor's Signature						Date	May 25, 1999		
Residence: City	San Rafael	State	CA	Country	U.S.A.		Citizenship	Canadian	
Mailing Address	53 Oakdale Avenue								
Mailing Address									
City	San Rafael	State	CA	Zip	94901	Country	U.S.A.		

Name of Additional Joint Inventor, if any: [ ] A petition has been filed for this unsigned inventor

Given Name		Middle Initial		Family Name			Suffix e.g. Jr.	
Inventor's Signature					Date			
Residence: City		State		Country		Citizenship		
Mailing Address								
Mailing Address								
City		State		Zip		Country		

Name of Additional Joint Inventor, if any: [ ] A petition has been filed for this unsigned inventor

Given Name		Middle Initial		Family Name			Suffix e.g. Jr.	
Inventor's Signature					Date			
Residence: City		State		Country		Citizenship		
Mailing Address								
Mailing Address								
City		State		Zip		Country		

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Name of Additional Joint Inventor, if any: [ ] A petition has been filed for this unsigned inventor

Given Name		Middle Initial		Family Name			Suffix e.g. Jr.	
Inventor's Signature					Date			
Residence: City		State		Country		Citizenship		
Mailing Address								
Mailing Address								
City		State		Zip		Country		

[ ] Additional inventors are being named on supplemental sheet(s) attached hereto

Rev. 05/19/99